



It's time for a system as driven as you are

Compliance measures, which require financial institutions to collect multiple documents from all eligible investors, as well as prepare their own forms and assign appropriate classifications, are too overwhelming to manage without a centralized management platform. Industry-specific compliance software is necessary to avoid penalties, optimize process management, and save time.

DynamoDriven™

DOMINATE YOUR COMPLIANCE STRATEGY

You need a configurable platform that grows alongside evolving regulations, has features that assist with defining roles and responsibilities, validates investor classifications, reviews compliance status, and institutionalizes a successful and repeatable process. Dynamo Software has compiled the following essential features that you should seek in a technology solution in order to command your compliance strategy.

- Founded in 1998
- 500+ Clients
- \$3T+ Client Assets

Agile Adaptation of Compliance Regulations

Compliance policies expand and mature as time progresses. Firms cannot afford to use software that is unable to align with changes to investment regulations. Configurable software based within an open architecture enables users to apply changes to compliance requirements, without compromising the usability of the system.

Intuitive Workflow Management

Successful compliance practices are based in strong project management and efficient communications across departments. However,

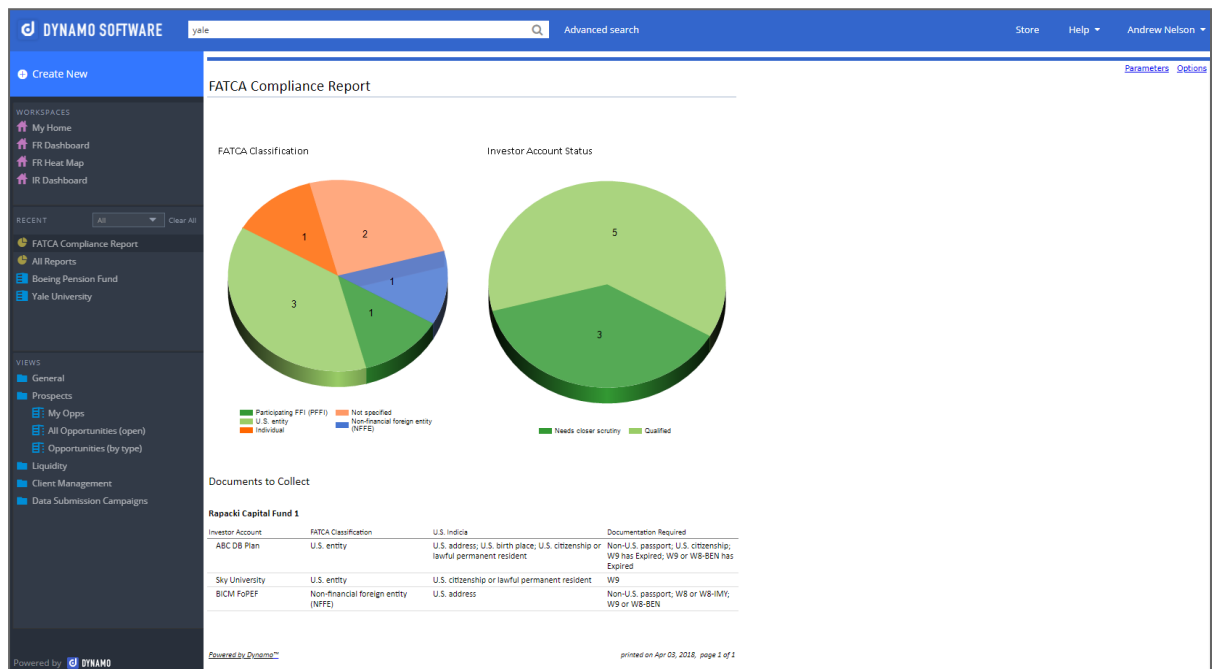
DataDriven™
ProcessDriven™
ComplianceDriven™



large-scale compliance projects still leave significant room for error if too many tasks are manual and located within disparate systems. Compliance features within a software platform should enable users to place all tasks in a single sharable view to ensure both transparency and individual accountability. Project status should also be self-evident within the software – once a specific compliance assignment is completed, the next responsible parties should be immediately and publicly notified that their tasks are active.

Reporting that Provides Essential Context

Compliance is an executive process – the leadership team in an alternative asset firm is ultimately responsible for avoiding penalties from regulators. Configurable software can enable executives to view compliance data in a consolidated, user-defined dashboard, simplifying the search for desired records. Firms should also seek software that provides a clear and comprehensive snapshot of compliance across the entire investor base. Compliance reports provide context for deciding the best methods for managing the process, such as allocating appropriate resources, and identifying information and communication gaps.



Seamless Document Collection

Compliance processes require organizing diverse waves of documentation from both individual investors and fund managers – FATCA alone requires multiple unique tax forms and classification documents per account. Compliance software should be able

to optimize the document collection process with a method that provides automated classification, and robust security for all delivered documentation.

An online process for submitting investor documents is crucial for optimizing compliance document collection. Online document collection typically includes system validation features, which not only provide secure transparency for the investor and automated classification for the firm, but also save significant cost through a paperless collection process.

Alternative asset-specific compliance software also empowers users to track the viability of collected documents. As an example, FATCA requires investors to submit a W8 that is no less than three years old. Software that tracks expirations will prevent firms from submitting invalid documents, avoiding potential penalties.

The screenshot displays the Dynamo Software interface for user Steve Barry. The top navigation bar includes a search bar, 'Advanced search', and user information (Richard Rapacki). The main area is divided into a left sidebar with navigation options like 'My Home', 'FR Dashboard', and 'Investor Commitments', and a central document management table. The table lists documents with columns for Date, Title, Document categories, Document status, and Funds. A preview of a Schedule K-1 (Form 1065) for 2007 is shown on the right side of the interface.

Date	Title	Document categories	Document status	Funds
07/19/2017	Representative Clients	Business plan; Certificate of Registration; Due Diligence	Approved for Po...	Rapacki Capi
03/30/2017	Sample Account Statement - BICM	Due Diligence		Kelly Capital
02/13/2018	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
01/22/2018	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
07/22/2018	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
01/18/2018	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
01/18/2018	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
06/29/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
05/29/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
03/23/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
03/04/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
02/26/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
02/25/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
02/03/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
02/03/2016	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
10/06/2015	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
09/17/2015	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi
08/08/2015	Sample Schedule K-1 (Form 1065)	K-1	Approved for Po...	Rapacki Capi

KYC Flexibility

Large-scale legislation may capture headlines, but alternative asset firms are subject to audit on an ongoing basis, and each auditor provides a different definition for KYC (Know Your Client) due diligence. Firms employing multiple due diligence consultants should be able to fluidly build multiple KYC dashboards within a single system, and enable users to track unique auditor metrics across multiple funds.